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UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I

Initial Listing Report

- 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: Nasdaq Stock Market LLC (traded pursuant to unlisted trading privileges)
- 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): Open End Management Investment Company
- Class of New Derivative Securities Product:

Exchange Traded Fund

- 4. Name of Underlying Instrument:
- Actively managed portfolio of securities
- 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Not Applicable**
- Ticker Symbol(s) of New Derivative Securities Product:
- 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: BATS, NASDAQ Stock Market LLC, NYSE Arca, OTC
- Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 2 (cash settled)
- 9. Position Limits of New Derivative Securities Product (if applicable): N/A



Part II

Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

William Slattery

Title:

Vice President

Securities and Exchange Commission

Telephone Number:

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Trading and Markets

onsible for Form: Manual Signature of Official Res

Date: October 17, 2018

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Availability

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